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McDonnell Boehnen Hulbert & Berghoff
Law Offices

Fax transmittal

To	Office of Initial Patent Examination	Date	01/22/02
Company	United States Patent Office	From	Mark W. Triplett
Fax	1 703 308 7751	Direct	312 913 0001 ext 2029
Phone	1 703 308 1202	Email	triplett@mbhb.com
Pages, with cover	8	C/M	460/39
Re	Duplicate copy of response to notice to file missing parts for 09/896,061 (attorney ref. no. 01-381)		

Dear Sir/Madam:

This is a copy of correspondence that was mailed to the USPTO on October 19, 2001.
Please charge any fees to Deposit Account 13-2490. If the OIPE wishes to contact
the undersigned, they may phone 312 913 0001 ext. 2029.

Respectfully submitted,

By: Mark Triplett

Mark W. Triplett

Reg. No. 49,002

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300 South Wacker Drive 312 913 0001 phone
Chicago, Illinois 60605-6709 312 913 0002 fax
www.mbh.com

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UNITED STATES PATENT AND TRADEMARK OFFICE
(Case No. 01-381)

In The Application Of:
 Schmitz, et al.

Serial No. 09/896,061

Filed: June 29, 2001

Title Automated Execution System Having
 Participation

)
)
)
)
)
) Examiner:

)
)
) Group Art Unit:

TRANSMITTAL LETTER

Box Missing Parts
 Commissioner for Patents
 Washington, D.C. 20231

Sir:

In regard to the above identified application:

1. We are transmitting herewith the attached:

- a. A Copy of Notice To File Missing Parts;
- b. Response to Notice to File Missing Parts;
- c. Executed Copy of Oath of Declaration; and
- d. Return Receipt Postcard.

2. With respect to additional fees:

Check in the amount of \$130.00.

3. Please charge any additional fees or credit overpayment to Deposit Account No.13-2490.
 A duplicate copy of this sheet is enclosed.

4. CERTIFICATE OF MAILING UNDER 37 CFR § 1.8: The undersigned hereby certifies
 that this Transmittal Letter and the paper, as described in paragraph 1 hereinabove, are
 being deposited with the United States Postal Service with sufficient postage as first class
 mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents,
 Washington, D.C. 20231 on this 19th day of October, 2001.

Respectfully submitted,

By: Mark W. Triplett
 Mark W. Triplett
 Reg. No. 49,002

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PATENT
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
(Case No. 01-381)

In the Application of:)	
)	
Schmitz, et al.)	Examiner:
)	
Serial No. 09/896,061)	Group Art Unit:
)	
Filed: June 29, 2001)	
)	
For: Automated Execution System Having Participation)	

RESPONSE TO NOTICE TO FILE MISSING PARTS
MAILED AUGUST 21, 2001

Box Missing Parts
 Commissioner for Patents
 Washington, D.C. 20231

Sir:

Responsive to the Notice to File Missing Parts of Application, mailed August 21, 2001, Applicants submit herewith an executed copy of their Declaration, pursuant to 37 C.F.R. §§1.63 and 1.68.

A check in the amount of \$130.00 accompanies this Response.

Respectfully submitted,
 McDonnell Boehnen Hulbert & Berghoff

Date: October 19, 2001

By:

Mark Trippett
 Mark W. Trippett
 Reg. No. 49,002

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FILE COPY

Hon. Commissioner of
Patents and Trademarks

09/896,061

Attn: MWT/cs

Re: Applicant - Schmitz, et al.

Case No. 01-381

AUTOMATED EXECUTION SYSTEM HAVING PARTICIPATION

Sir:

Please place the Patent Office receipt stamp hereon and mail to acknowledge receipt of:

- Transmittal Letter (in duplicate)
- Response to Notice to File Missing Parts of Application
- Executed copy of Oath or Declaration
- Certificate of Mailing

Fee Enclosed

\$ 130.00

Date Mailed: October 19, 2001

Respectfully,
McDonnell Boehnen Hulbert & Bergroff
Attorneys for Appellant

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Jan-22-02 16:41

From-MBHB

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T-597 P.08/08 F-014

31193

MC DONNELL BOEHNEN
HULBERT & BERGHOFF
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CHICAGO, IL 60606-6701

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Commissioner of Patents

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 WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/896,061	06/29/2001	David J. Schmitz	01-381

CONFIRMATION NO. 9465
 FORMALITIES LETTER

Mark W. Triplett
 McDonnell Boehnen Hulbert & Berghoff
 300 S. Wacker Drive, 32nd Floor
 Chicago, IL 60606



OC000000006456084

Date Mailed: 08/21/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

A copy of this notice MUST be returned with the reply.

[Signature]
 Customer Service Center
 Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

Docketed

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AUG 27 2001

DU^E DA^E: 10/21/01
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